



PATENT

Case Docket No. CVALVE.006CP1

Date: April 16, 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Seguin, *et al.*  
Appl. No. : 10/772,101  
Filed : February 4, 2004  
For : PROSTHETIC VALVE FOR  
TRANSLUMINAL DELIVERY  
Examiner : Unknown  
Group Art Unit : 3738

I hereby certify that this correspondence and all marked attachments are being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

April 16, 2004

(Date)

Walter S. Wu, Reg. No. 50,816

TRANSMITTAL LETTER

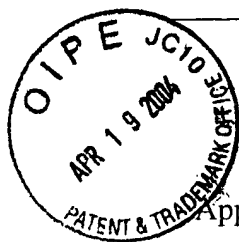
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Enclosed for filing in the above-identified application are:

- (X) An Information Disclosure Statement.
- (X) A PTO Form 1449 with one-hundred thirteen (113) references.
- (X) The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Account No. 11-1410.
- (X) Return prepaid postcard.

Walter S. Wu  
Registration No. 50,816  
Attorney of Record  
Customer No. 20,995  
(949) 760-0404



## INFORMATION DISCLOSURE STATEMENT

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Commissioner for Patents  
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Alexandria, VA 22313-1450

Dear Sir:

Enclosed is form PTO-1449 listing 113 references. Copies of disclosed U.S. patents and/or publications are not included pursuant to PTO waiver of the requirement under 37 C.F.R. § 1.98(a)(2)(i) for applications filed after June 30, 2003.

This Information Disclosure Statement is being filed before the receipt of a first Office Action on the merits, and presumably no fee is required in accordance with 37 C.F.R. § 1.97(b)(3). If a first Office Action on the merits was mailed before the mailing date of this Statement, the Commissioner is authorized to charge the fee set forth in 37 C.F.R. § 1.17(p) to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: \_\_\_\_\_

*April 16, 2004*

By: \_\_\_\_\_

A handwritten signature in black ink, appearing to be "Walter S. Wu".

Walter S. Wu  
Registration No. 50,816  
Attorney of Record  
Customer No. 20,995  
(949) 760-0404

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
CVALVE.006CP1APPLICATION NO.  
10/772,101INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT  
Sequin, *et al.*FILING DATE  
February 4, 2004GROUP  
3738

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |    | DOCUMENT NUMBER | DATE     | NAME              | CLASS | SUBCLASS | FILING DATE<br>(IF APPROPRIATE) |
|---------------------|----|-----------------|----------|-------------------|-------|----------|---------------------------------|
|                     | 1  | US 3,409,013    | 11/05/68 | Berry             |       |          |                                 |
|                     | 2  | US 3,587,115    | 06/28/71 | Shiley            |       |          |                                 |
|                     | 3  | US 3,657,744    | 04/25/72 | Ersek             |       |          |                                 |
|                     | 4  | US 3,671,979    | 06/27/72 | Moulopoulos       |       |          |                                 |
|                     | 5  | US 3,714,671    | 02/06/73 | Edwards et al.    |       |          |                                 |
|                     | 6  | US 3,755,823    | 09/04/73 | Hancock           |       |          |                                 |
|                     | 7  | US 4,035,849    | 07/19/77 | Angell et al.     |       |          |                                 |
|                     | 8  | US 4,056,854    | 11/08/77 | Boretos et al.    |       |          |                                 |
|                     | 9  | US 4,106,129    | 08/15/78 | Carpentier et al. |       |          |                                 |
|                     | 10 | US 4,222,126    | 09/16/80 | Boretos et al.    |       |          |                                 |
|                     | 11 | US 4,297,749    | 11/03/81 | Davis et al.      |       |          |                                 |
|                     | 12 | US 4,339,831    | 07/20/82 | Johnson           |       |          |                                 |
|                     | 13 | US 4,343,048    | 08/10/82 | Ross et al.       |       |          |                                 |
|                     | 14 | US 4,470,157    | 09/11/84 | Love              |       |          |                                 |
|                     | 15 | US 4,574,803    | 03/11/86 | Storz             |       |          |                                 |
|                     | 16 | US 4,592,340    | 06/03/86 | Boyles            |       |          |                                 |
|                     | 17 | US 4,574,803    | 03/11/86 | Storz             |       |          |                                 |
|                     | 18 | US 4,612,011    | 09/16/86 | Kautzky           |       |          |                                 |
|                     | 19 | US 4,655,771    | 04/07/87 | Wallsten          |       |          |                                 |
|                     | 20 | US 4,733,665    | 03/29/88 | Palmaz            |       |          |                                 |
|                     | 21 | US 4,777,951    | 10/18/88 | Cribier et al.    |       |          |                                 |
|                     | 22 | US 4,787,899    | 11/29/88 | Lazarus           |       |          |                                 |
|                     | 23 | US 4,787,901    | 11/29/88 | Baykut            |       |          |                                 |
|                     | 24 | US 4,796,629    | 01/10/89 | Grayzel           |       |          |                                 |
|                     | 25 | US 4,878,495    | 11/07/89 | Grayzel           |       |          |                                 |
|                     | 26 | US 4,878,906    | 11/07/89 | Lindemann et al.  |       |          |                                 |
|                     | 27 | US 4,883,458    | 11/28/89 | Shiber            |       |          |                                 |

EXAMINER

DATE CONSIDERED

\*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

|  |                                    |                               |
|--|------------------------------------|-------------------------------|
| FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE<br><br><b>INFORMATION DISCLOSURE STATEMENT<br/>         BY APPLICANT</b><br><br>(USE SEVERAL SHEETS IF NECESSARY) | ATTY. DOCKET NO.<br>CVALVE.006CP1  | APPLICATION NO.<br>10/772,101 |
|  | APPLICANT<br>Sequin, <i>et al.</i> |                               |
|  | FILING DATE<br>February 4, 2004    | GROUP<br>3738                 |

| U.S. PATENT DOCUMENTS |    |                 |          |                   |       |          |                                 |
|-----------------------|----|-----------------|----------|-------------------|-------|----------|---------------------------------|
| EXAMINER<br>INITIAL   |    | DOCUMENT NUMBER | DATE     | NAME              | CLASS | SUBCLASS | FILING DATE<br>(IF APPROPRIATE) |
|                       | 28 | US 4,966,604    | 10/30/90 | Reiss             |       |          |                                 |
|                       | 29 | US 4,979,939    | 12/25/90 | Shiber            |       |          |                                 |
|                       | 30 | US 4,986,830    | 01/22/91 | Owens et al.      |       |          |                                 |
|                       | 31 | US 4,994,077    | 02/19/91 | Dobben            |       |          |                                 |
|                       | 32 | US 5,007,896    | 04/16/91 | Shiber            |       |          |                                 |
|                       | 33 | US 5,026,366    | 06/25/91 | Leckrone          |       |          |                                 |
|                       | 34 | US 5,032,128    | 07/16/91 | Alonso            |       |          |                                 |
|                       | 35 | US 5,037,434    | 08/06/91 | Lane              |       |          |                                 |
|                       | 36 | US 5,047,041    | 09/10/91 | Samuels           |       |          |                                 |
|                       | 37 | US 5,059,177    | 10/22/91 | Towne et al.      |       |          |                                 |
|                       | 38 | US 5,085,635    | 02/04/92 | Cragg             |       |          |                                 |
|                       | 39 | US 5,089,015    | 02/18/92 | Ross              |       |          |                                 |
|                       | 40 | US 5,152,771    | 10/06/92 | Sabbaghian et al. |       |          |                                 |
|                       | 41 | US 5,163,953    | 11/17/92 | Vince             |       |          |                                 |
|                       | 42 | US 5,167,628    | 12/01/92 | Boyles            |       |          |                                 |
|                       | 43 | US 5,295,958    | 03/22/94 | Shturman          |       |          |                                 |
|                       | 44 | US 5,332,402    | 07/26/94 | Teitelbaum        |       |          |                                 |
|                       | 45 | US 5,370,685    | 12/06/94 | Stevens           |       |          |                                 |
|                       | 46 | US 5,397,351    | 03/14/95 | Pavcnik et al.    |       |          |                                 |
|                       | 47 | US 5,411,055    | 05/02/95 | Andersen et al.   |       |          |                                 |
|                       | 48 | US 5,443,446    | 08/22/95 | Shturman          |       |          |                                 |
|                       | 49 | US 5,480,424    | 01/02/96 | Cox               |       |          |                                 |
|                       | 50 | US 5,545,209    | 08/13/96 | Roberts et al.    |       |          |                                 |
|                       | 51 | US 5,545,214    | 08/13/96 | Stevens           |       |          |                                 |
|                       | 52 | US 5,554,185    | 09/10/96 | Block et al.      |       |          |                                 |
|                       | 53 | US 5,716,417    | 02/10/98 | Girard et al.     |       |          |                                 |
|                       | 54 | US 5,840,081    | 11/24/98 | Andersen et al.   |       |          |                                 |

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| EXAMINER<br>INITIAL   |    | DOCUMENT NUMBER | DATE     | NAME             | CLASS | SUBCLASS | FILING DATE<br>(IF APPROPRIATE) |
|                       | 55 | US 5,855,597    | 01/05/99 | Jayaraman        |       |          |                                 |
|                       | 56 | US 5,855,601    | 01/05/99 | Bessler et al.   |       |          |                                 |
|                       | 57 | US 5,925,063    | 07/20/99 | Khosravi         |       |          |                                 |
|                       | 58 | US 5,957,949    | 09/28/99 | Leonhardt et al. |       |          |                                 |
|                       | 59 | US 6,027,525    | 02/22/00 | Suh et al.       |       |          |                                 |
|                       | 60 | US 6,168,614    | 01/02/01 | Andersen et al.  |       |          |                                 |
|                       | 61 | US 6,221,091    | 04/24/01 | Khosravi         |       |          |                                 |
|                       | 62 | US 6,245,102    | 07/30/02 | Jayaraman        |       |          |                                 |
|                       | 63 | US 6,299,637    | 10/09/01 | Shaolian et al.  |       |          |                                 |
|                       | 64 | US 6,425,916    | 07/30/02 | Garrison et al.  |       |          |                                 |
|                       | 65 | US 6,440,164    | 08/27/02 | Di Matteo et al. |       |          |                                 |
|                       | 66 | US 6,454,799    | 09/24/02 | Schreck          |       |          |                                 |
|                       | 67 | US 6,458,153    | 10/01/02 | Bailey et al.    |       |          |                                 |
|                       | 68 | US 6,461,382    | 10/08/02 | Cao              |       |          |                                 |
|                       | 69 | US 6,482,228    | 11/19/02 | Norred           |       |          |                                 |
|                       | 70 | US 6,488,704    | 12/03/02 | Connelly et al.  |       |          |                                 |

| FOREIGN PATENT DOCUMENTS |    |                 |          |         |       |          |             |    |
|--------------------------|----|-----------------|----------|---------|-------|----------|-------------|----|
| EXAMINER<br>INITIAL      |    | DOCUMENT NUMBER | DATE     | COUNTRY | CLASS | SUBCLASS | TRANSLATION |    |
|                          |    |                 |          |         |       |          | YES         | NO |
|                          | 71 | DE 19,532,846   | 03/13/97 | Germany |       |          |             |    |
|                          | 72 | DE 19,546,692   | 06/19/97 | Germany |       |          |             |    |
|                          | 73 | DE 19,857,887   | 07/06/00 | Germany |       |          |             |    |
|                          | 74 | DE 19,907,646   | 08/24/00 | Germany |       |          |             |    |
|                          | 75 | DE 10,049,812   | 04/18/02 | Germany |       |          |             |    |
|                          | 76 | DE 10,049,813   | 04/18/02 | Germany |       |          |             |    |
|                          | 77 | DE 10,049,814   | 04/18/02 | Germany |       |          |             |    |
|                          | 78 | DE 10,049,815   | 04/18/02 | Germany |       |          |             |    |

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|                          |     |                 |          |                |       |          | YES         | NO |
|                          | 79  | EP 0,103,546 A1 | 03/21/84 | Europe         |       |          |             |    |
|                          | 80  | EP 0,103,546 B1 | 03/21/84 | Europe         |       |          |             |    |
|                          | 81  | EP 0,597,967    | 12/06/94 | Europe         |       |          |             |    |
|                          | 82  | EP 0,850,607    | 07/01/98 | Europe         |       |          |             |    |
|                          | 83  | EP 1,057,460    | 12/06/00 | Europe         |       |          |             |    |
|                          | 84  | EP 1,088,529    | 04/04/01 | Europe         |       |          |             |    |
|                          | 85  | FR 2,788,217    | 07/13/00 | France         |       |          |             |    |
|                          | 86  | GB 2,056,023    | 03/11/81 | United Kingdom |       |          |             |    |
|                          | 87  | WO 91/17720     | 11/28/91 | PCT            |       |          |             |    |
|                          | 88  | WO 93/01768     | 17/15/92 | PCT            |       |          |             |    |
|                          | 89  | WO 98/29057     | 07/09/98 | PCT            |       |          |             |    |
|                          | 90  | WO 99/33414     | 07/08/99 | PCT            |       |          |             |    |
|                          | 91  | WO 00/41652     | 07/20/00 | PCT            |       |          |             |    |
|                          | 92  | WO 00/47139     | 08/17/00 | PCT            |       |          |             |    |
|                          | 93  | WO 01/49213     | 07/12/01 | PCT            |       |          |             |    |
|                          | 94  | WO 01/54625     | 08/02/01 | PCT            |       |          |             |    |
|                          | 95  | WO 01/62189     | 0/30/01  | PCT            |       |          |             |    |
|                          | 96  | WO 01/64137     | 09/07/01 | PCT            |       |          |             |    |
|                          | 97  | WO 01/76510     | 10/18/01 | PCT            |       |          |             |    |
|                          | 98  | WO 02/22054     | 05/21/02 | PCT            |       |          |             |    |
|                          | 99  | WO 02/41789     | 05/30/02 | PCT            |       |          |             |    |
|                          | 100 | WO 02/43620     | 06/06/02 | PCT            |       |          |             |    |
|                          | 101 | WO 02/47575     | 06/20/02 | PCT            |       |          |             |    |
|                          | 102 | WO 02/49540     | 06/27/02 | PCT            |       |          |             |    |
|                          | 103 | WO 92/17118     | 10/15/92 | PCT            |       |          |             |    |
|                          | 104 | 1271508 A1      | 11/1986  | SU             |       |          |             | X  |

|                     |  |
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| EXAMINER<br>INITIAL | OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.) |
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|---------------------|--|--|
|                     | 105  | <i>Balloon-Expandable Intracoronary Stent in the Adult Dog</i> ; Schatz, Richard MD, et al.; <u>Laboratory Investigation – Myocardial Ischemia</u> ; pp 450-457; 1987. |
|                     | 106  | US Patent Application Publication 2001/0,002,445 – Vesely (Published 03/31/01)   |
|                     | 107  | US Patent Application Publication 2001/0,007,956 – Letac et al. (Published 07/12/01)   |
|                     | 108  | US Patent Application Publication 2001/0,010,017 – Letac et al. (Published 07/26/01)   |
|                     | 109  | US Patent Application Publication 2001/0,021,872 – Bailey et al. (Published 09/13/01)  |
|                     | 110  | US Patent Application Publication 2002/0,032,481 – Gabbay (Published 03/14/02)   |
|                     | 111  | US Patent Application Publication 2002/0,042,651 – Liddicoat (Published 04/11/02)  |
|                     | 112  | US Patent Application Publication 2002/0,107,565 – Greenhalgh (Published 08/08/02)   |
|                     | 113  | US Patent Application Publication 2002/0,138,138 – Yang (Published 09/26/02)   |

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